

1 **ARIZONA DEPARTMENT OF FINANCIAL INSTITUTIONS**

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3 In the Matter of the Mortgage Broker License of:

4 **UNIFIED FINANCIAL GROUP, INC.**  
5 2820 Camino Del Rio South, Suite 214  
6 San Diego, CA 92108

**NOTICE OF LICENSE EXPIRATION**

7 The Superintendent of Financial Institutions for the State of Arizona, (the "Superintendent"),  
8 finds, pursuant to Arizona Revised Statutes ("A.R.S.") Section 6-903(F), that mortgage broker license  
9 #0908316 for Unified Financial Group, Inc. (hereinafter "UFGI"), is expired. Specifically, A.R.S. § 6-  
10 903(F) states, "A licensee shall notify the superintendent that its responsible individual will cease to be  
11 in active management of the activities of the licensee within ten days of learning that fact. The licensee  
12 has ninety days after the notification is received by the superintendent within which to replace the  
13 responsible individual with a qualified replacement and to so notify the superintendent. If the license is  
14 not placed under active management of a qualified responsible individual and if notice is not given to  
15 the superintendent within the ninety day period, the license of the licensee expires". The Arizona  
16 Department of Financial Institutions ("Department") has not received notice or documentation that  
17 UFGI has placed itself under the active management of a qualified responsible individual within 90  
18 days of the Department's notification that UFGI's responsible individual ceased to be in active  
19 management;

20 Pursuant to A.R.S. § 6-903(A), "A person shall not act as a mortgage broker if he is not  
21 licensed under this article." UFGI may not transact business in Arizona as a mortgage broker until  
22 such time that UFGI is licensed. Transacting business as a mortgage broker without a license is a  
23 violation of statutes and subject to administrative action by the Superintendent. Pursuant to A.R.S. § 6-  
24 132, the Superintendent may assess a civil money penalty of up to five thousand dollars (\$5,000.00) per  
25 day per violation.

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1 DATED this 14 day of July, 2008.

2 Felecia A. Rotellini  
3 Superintendent of Financial Institutions

4 By: Robert D. Charlton

5 Robert D. Charlton  
6 Assistant Superintendent of Financial Institutions

7 ORIGINAL OF THE NOTICE OF LICENSE EXPIRATION filed this  
8 14th day of July, 2008  
9 in the office of:

10 Felecia A. Rotellini  
11 Superintendent of Financial Institutions  
12 Arizona Department of Financial Institutions  
13 Attn: Susan Longo  
14 2910 N. 44th Street, Suite 310  
15 Phoenix, AZ 85018

16 COPY of the foregoing mailed/delivered same date to:

17 Jeremy R. White, President  
18 Unified Financial Group, Inc.  
19 2820 Camino Del Rio South, Suite 214  
20 San Diego, CA 92108

21 By: Susan Longo